

2 Corporate Governance

BCS Reference – Level 2	Record Type	Retention Period	Authorised to Dispose
Information Governance – Records Management	Databases – records handling system	Permanent (Retain to demonstrate implementation of established practice and provide audit trail, see also Indexes)	
	Indexes – file and document lists marked for permanent preservation	Permanent	
	Indexes – file and document lists not marked for permanent preservation		
Information Governance – Data Protection	Policy Records: <ul style="list-style-type: none"> Procedures for handling subject access requests and other documents regarding practical implementation Documents on the organisation’s Data Protection Policy 	Retain for 5 years after the procedures have been superseded as they may have archival or reference value. Consider for permanent preservation.	NSS Privacy Advisor
	Individual Data Protection subject access requests <ul style="list-style-type: none"> Proof of identity documentation 	6 months after date request completed	SBU Data Protection Lead/SBU Director
	Individual Data Protection subject access requests <ul style="list-style-type: none"> The request, results of searches made, copy of information provided, the consideration of possible exemptions 	6 years after date request completed	SBU Data Protection Lead/SBU Director
Information Governance – Freedom of Information	Policy Records: <ul style="list-style-type: none"> Procedures for handling FOI requests and other documents regarding practical implementation NSS Document Storage, Retention and Disposal Policy Documents on the organisations FOI policy Case Records which lead to the development of precedents and best practice 	Retain for 5 years after the procedures have been superseded as they may have archival or reference value. Consider for permanent preservation.	Associate Director of Corporate Affairs & Compliance
	Individual Transaction Records <ul style="list-style-type: none"> Case file records detailing FOI request, the 	3 years after date of creation	

	consideration of possible exemptions and subsequent appeals		
	<p>Access Status Records</p> <ul style="list-style-type: none"> ▪ Statistical data regarding the number of requests answered and their outcomes ▪ Details of access decisions taken about records especially any redacted versions of documents released. 	Keep as required for reporting requirements. Suggested retention length is 10 years	
	Information subject to a FOI request but scheduled for destruction	6 months from the date of the last correspondence on the matter	
	Records on any financial transactions	See 'Finance'	
Corporate/Senior Management	Diaries – office	1 year after completion	Corporate Affairs & Compliance Manager
	Receipts for registered and recorded delivery mail	2 years	
Audit	Quality Assurance – Internal Audit Reports	3 years	
	Audit Records – original documents	3 years after formal clearance by statutory auditor	
	Audit Reports – (including Management letters, VFM reports and system/final accounts memorandum)	3 years after formal clearance by statutory auditor	
	Inquires involving fraud / other irregularities	10 years	
	Internal Audit Reports	5 years after the financial year to which they relate	
Feedback	Quality Assurance – Complaints	5 years	
	Quality Assurance – Customer Satisfaction Results	3 years	
Feedback – Complaints	Complaints Register	10 years	Associate Director of Corporate Affairs & Compliance
	Case Records – correspondence / complaints forms	10 years	
	Minutes of Complaints Committees / Independent Review Panels	10 years	
	Complaints: Statistical reports / trend surveys	5 years	
	Non-NSS Complaints	1 year (but destroyed on a rolling quarterly basis)	

Feedback – Complaints (Clinical)	Patient complaints without litigation – adults	7 years	SBU Directors
	Patient complaints without litigation – children and young adults	Until child is 16 or 7 years, whichever is later	SBU Directors
Quality & Performance	Quality Assurance – Management Review minutes	3 years	
	Quality Assurance – corrective action / preventive action	3 years	
	Quality Assurance – Continual Improvement	2 years after completion of project	
	Corporate Policies / SG Circulars	6 years after end of agreement / project to which they refer	
	SNBTS Quality Assurance Records	30 years	
	Performance Assessment Framework Reports	Permanent	
	Minutes of Performance Accountability Reviews with Scottish Executive	Permanent	
	Minutes of Performance Reviews NSS HQ / SBUs	6 years after the end of the period to which they refer	
Research Governance	Research and development (scientific, technological and medical)	Consider for permanent preservation	
Board & Formal Decision Making	Board/Sub-committees Minutes and Reports – master set	Permanent (Main committees and sub-committees of NHS Boards and special Health Boards and other meetings of significance for legal, administrative or historical reasons)	
	Meeting papers – master set	Permanent (Main committees and sub-committees of NHS Boards and special Health Boards and other meetings of significance for legal, administrative or historical reasons)	
	Board members' declaration of interests	5 years after member ceases to be a member of a public body	
Strategic Planning	Corporate and Divisional Business Plans	Permanent	
	Service Level Agreements	6 years after end of agreement	Head of Relevant Service

	<ul style="list-style-type: none"> ▪ 		
	Strategic Plans <ul style="list-style-type: none"> ▪ 	Permanent	Head of Relevant Service
Legal Support	Legal actions (adult)	7 years after case settled or dropped	Chief Executive
	Legal actions (child)	Until child is 18 or 7 years after case settled or dropped, whichever is later	Chief Executive
	Litigation dossiers – complaints including accident reports	10 years (Where a legal action has commenced see Legal Actions)	Chief Executive
Programme, Project and Portfolio Management	Programme Management Documentation – (£250,000 and over), including abandoned or deferred programmes	Permanent	
	Programme Management Documentation – (under £250,000), including abandoned or deferred programmes	6 years after completion / abandonment of programme	
	Project files (£250,000 and over) Examples include (but not exhaustive): <ul style="list-style-type: none"> ▪ Project Mandate ▪ Project Brief and Scoping Documentation ▪ Project Initiation Document (PID) ▪ Business Case ▪ Risk and Issue Logs ▪ Project Plans ▪ Project Communication Strategies and communication materials ▪ Project Reports – End Reports, Lessons Learned, Progress Reports, BAU Handover Documents ▪ Project Steering Board Documentation ▪ Project Team Documentation ▪ Privacy Impact Assessments (PIAs) 	Permanent (Including abandoned or deferred projects)	
	Project files (under £250,000)	6 years after completion /	

	<p>Examples include (but not exhaustive):</p> <ul style="list-style-type: none">▪ Project Mandate▪ Project Brief and Scoping Documentation▪ Project Initiation Document (PID)▪ Business Case▪ Risk and Issue Logs▪ Project Plans▪ Project Communication Strategies and communication materials▪ Project Reports – End Reports, Lessons Learned, Progress Reports, BAU Handover Documents▪ Project Steering Board Documentation▪ Project Team Documentation▪ Privacy Impact Assessments	abandonment of project	
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